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Dated: 8/3/04 Signature: Melody Almberg  
(Melody Almberg)

Docket No.: 337348020US1  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Andrew D. Firlik et al.

Application No.: 09/802,808

Confirmation No.: 8272

Filed: March 8, 2001

Art Unit: 3762

For: METHODS AND APPARATUS FOR  
EFFECTUATING A LASTING CHANGE IN  
A NEURAL-FUNCTION OF A PATIENT

Examiner: R. D. Bradford

**INFORMATION DISCLOSURE STATEMENT (IDS)**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed more than three months after the U.S. filing date, OR more than three months after the date of entry of the national stage of a PCT application, AND after the mailing date of the first Office Action on the merits, whichever occurs first, but before the mailing date of a Final Office Action or Notice of Allowance (37 CFR 1.97(c)).

A copy of the references are attached.

Our check in the amount of \$180.00 covering the fee set forth in 37 CFR 1.17(p) is enclosed. The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0665, under Order No. 337348020US1.

Dated: August 3, 2004

Respectfully submitted,

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PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number	09/802,808-Conf. #8272
Filing Date	March 8, 2001
First Named Inventor	Andrew D. Firlik
Art Unit	3762
Examiner Name	R. D. Bradford
Attorney Docket Number	337348020US1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-2002-0087201	07-04-2002	Andrew Firlik	
		US-2003-0149457-A1	08-07-2003	Tcheng et al.	
		US-2003-0187490	10-02-2003	Bradford Gliner	
		US-4,431,000	12-14-1984	Butler et al.	
		US-5,054,906	10-08-1991	WILLIAM G. LYONS	
		US-5,263,967	11-23-1993	WILLIAM G. LYONS	
		US-5,575,813	11-19-1996	DAVID J. EDELL	
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		US-6,463,328	10-08-2002	MICHAEL SASHA JOHN	
		US-6,622,048	09-16-2003	Carla Mann	

**FOREIGN PATENT DOCUMENTS**

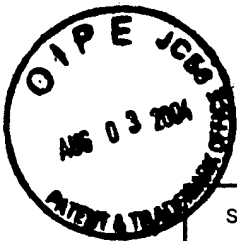
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		WO 98/06342	02-19-1998	Neotonus, Inc.		
		WO 03/043690	05-30-2003	Vertis Neuroscience, Inc.		
		WO 03/082402	03-26-2003	Vertis Neuroscience, Inc.		
		EP-0 998 958 A2	10-05-2000	Medtronic, Inc.		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*\*CITE NO.: Those patent(s) or publication(s) which are marked with an double asterisk (\*\*) next to the Cite No. are not supplied because they were previously cited by or submitted to the Office in a prior application relied upon in this application for an earlier filing date under 35 U.S.C. 120. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		BENABID, A.L. et al, "Chronic electrical stimulation of the ventralis intermedialis nucleus of the thalamus as a treatment of movement disorders," J. Neurosurg., April 1997, 86(4); 737; <a href="http://www.ncbi.nlm.nih.gov">http://www.ncbi.nlm.nih.gov</a> ; [accessed 11/18/2003]	
		International Search Report for PCT/US03/39077; May 2004; Applicant: Northstar Neuroscience, Inc. (3 pgs)	

Examiner Signature		Date Considered	
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<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/802,808-Conf. #8272
				Filing Date	March 8, 2001
				First Named Inventor	Andrew D. Firlik
				Art Unit	3762
				Examiner Name	R. D. Bradford
Sheet	2	of	1	Attorney Docket Number	337348020US1

	International Search Report for PCT/US03/03678; July 2003; Applicant: Northstar Neuroscience, Inc. (4 pgs)	
	International Search Report for PCT/US03/39078; May 2004; Applicant: Northstar Neuroscience, Inc. (5 pgs)	
	International Search Report for PCT/US02/31112; December 2002; Applicant: Vertis Neuroscience, Inc. (7 pgs)	
	International Search Report for PCT/US02/31127; July 2003; Applicant: Vertis Neuroscience, Inc. (3 pgs)	
	International Search Report for PCT/US02/31128; September 2002; Applicant: Vertis Neuroscience, Inc. (6 pgs)	
	Written Opinion for PCT/US03/03678; December 2003; Applicant: Northstar Neuroscience, Inc. (4 pgs)	
	Written Opinion for PCT/US02/32695; June 2003; Applicant: Vertis Neuroscience, Inc. (2 pgs)	
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	Written Opinion for PCT/US02/07077; July 2003; Applicant: Vertis Neuroscience, Inc. (4 pgs)	

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<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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